

Mail Date: August 31, 2007  
Attorney Docket No: 72882-011 (WRAJ-001US)      Atty. Initials: EEK/jia  
Applicant(s): Philip Course, et al.  
Application No: 10/519,507  
Filed: December 28, 2004  
Title: A Method for Transacting a Trade Electronically,  
and a System Therefor  
Art Unit: 3624  
Confirmation No. 2915

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon. Kindly acknowledge receipt by date stamping and placing this card in the outgoing mail.

☒ Transmittal Letter (1 page)  
☒ Information Disclosure Statement (3 pages)  
☒ Information Disclosure Statement by Applicant (Form 1449) (1 page)  
☒ References cited in IDS (Form 1449) B1-B4  
☒ Return Receipt Postcard

BST99 1515492-1.056231.0485

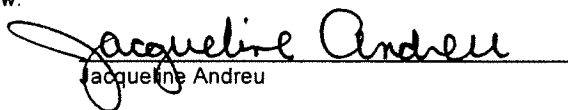
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Philip Course, et al.  
Serial No.: 10/519,507  
Filed: December 28, 2004  
Title: A Method for Transacting a Trade Electronically, and a System Therefor  
Docket No.: 72882-011 (WRAJ-001US)  
Confirmation No: 2915  
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## CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the U.S. Postal Service via First Class Mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, or facsimile transmitted (571) 273-8300 to the US PTO, on the date indicated below.

Date: 8-31-07

  
Jacqueline Andreu

Mail Stop: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## TRANSMITTAL LETTER

Enclosed for filing in connection with the above-referenced patent application are the following documents:

- 1) Information Disclosure Statement (3 pages);
- 2) Information Disclosure Statement By Applicant (Form 1449) (1 page);
- 3) References cited in IDS (Form 1449) B1-B4; and
- 4) Return Receipt Postcard.

The are no fees believed to be due with the filing of this Information Disclosure Statement. However, the commissioner is hereby authorized to charge any fees that may be required to our Deposit Account No. 50-1133.

Respectfully submitted,

McDermott Will & Emery LLP



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Date: 08-31-07

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Philip Course, et al.  
Serial No.: 10/519,507  
Art Unit: 3624  
Confirmation No.: 2915  
Filed: December 28, 2004  
Title: A Method for Transacting a Trade Electronically, and  
a System Therefor  
Examiner: Not yet assigned  
Docket No.: 72882-011 (WRAJ-001US)

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
  - ☐ a Statement under 37 CFR 1.97(e), as checked below, or
  - ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
  - ☐ a Statement under 37 CFR 1.97(e), as checked below, and
  - ☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☒ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)  
Applies to original applications (other than design)  
filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-SB08 (Form PTO-1449):
- ☒ Copies of the cited references are enclosed except US patent references.
- ☐ References cited were entered in prior application, U.S. Application No. to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
- ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.:  
[ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.:  
[ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.:  
[ ]

Examiner

Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 501133 in the amount of \$180.00.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 501133.

☒ No fee is required.

Respectfully submitted,

Dated: 08-31-07

By Elizabeth E. Kim

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Boston, MA 02109  
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Facsimile: 617-535-3800

Subst. for form 1449/PTO

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT***(Use as many sheets as necessary)***Complete if Known**

Application Number	10/519,507
Filing Date	12/28/04
First Named Inventor	Philip Course
Art Unit	3624
Examiner Name	Not yet assigned
Docket Number	72882-011 (WRAJ-001US)

Sheet 1 of 1

**U. S. Patent Documents**

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	US 6,381,582	04-30-2002	Walker et al.			
	A2	US 6,302,326	10-16-2001	Symonds et al.			
	A3	US 6,164,533	12-26-2000	Barton			

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
	B1	WO 01/18759 A1	03-15-2001	PCT				
	B2	WO 01/45057 A1	06-21-2001	PCT				
	B3	WO 01/84779 A2	11-08-2001	PCT				
	B4	WO 00/75890 A1	12-14-2000	PCT				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy with next communication to applicant.

Subst. PTO-1449 (1-94)

BST99 1550585-1.072882.0011